

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: The Housing Authority of the City of New Albany, Indiana PHA Code: IN012 PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): 2011					
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: 1083 Number of HCV units: 408					
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only					
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)					
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program	
					PH	HCV
	PHA 1:					
	PHA 2:					
	PHA 3:					
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.					
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: To provide quality affordable homes, assist residents to achieve independence, revitalize community, and provide a suitable environment for all families we serve.					
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. See end of document due to formatting issues					
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: Strategic Plan updated (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. 300 Erni Ave, New Albany, Indiana-limited sites available this year due to ADA renovations at all other community sites and offices.					
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. NAHA is currently applying for CHOICE Neighborhoods Planning Grant. All related information will be covered during planning process.					
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.					
8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing.					
8.2	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.					
8.3	Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.					
9.0	Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.					

9.1	Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.
10.0	Additional Information. Describe the following, as well as any additional information HUD has requested. (a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan. Included as part of updated strategic plan (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification" Significant admendment: An action which alters or disparately impacts a portion of the housing populations in a negative manner or changes the mission and/or goal of the NAHA. Significant deviation/modification: A non emergency action or plan that delays the modernization schedule of the NAHA by more than 2 years or disparately and negatively affects a portion of the housing or residents of the NAHA.
11.0	Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office. (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)

Updated Goals/Objectives and Strategic Plan for FYB April 1, 2011:

New Albany Housing Authority
FYB 2010-FB2014
Agency Strategic Five-Year Plan, Annual Plan 2012

This third Five-Year Strategic Plan analyzes the agency strengths and weaknesses following the implementation of Asset Management during NAHA Fiscal Years 2008, 2009 and 2010.

Following in-depth conversations with the Board of Commissioners, Community leaders, and Residents, NAHA has revised some of the long term goals of the agency to invest some of the resources on several main items.

This Five Year Plan will concentrate on the following areas:

1. Resident Empowerment
2. Support Service to People and Family Self-Sufficiency
3. Housing: Renovation, Demolition or Disposition
4. Neighborhood Safety and Security
5. Positive Perception of NAHA
6. Organizational/Systems Improvement
7. Financial Stability/growth

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

☒ PHA Goal: Expand the supply of assisted housing
 Objectives:

- ☒ Apply for additional rental vouchers: NAHA will apply in years 1-5 for available vouchers to the limit available measured by # of applications for vouchers. *Staff Responsibility: Finance Department and Section 8 Department*
Update 2011: NAHA applied for 20 additional housing choice vouchers under the Family Unification Program. If awarded NAHA would provide \$201,000 in voucher subsidy to youth aging out of foster care. NAHA was awarded 15 Veterans Assistance & Supportive Housing (VASH) vouchers to serve veterans who are homeless or at-risk of homelessness.
- ☒ Reduce public housing vacancies: NAHA will reduce vacancy average by 1 units each year for years 1-5.
Staff Responsibility: Occupancy Department and Maintenance Department
Update 2011 NAHA has achieved occupancy rate of over 99% for the past calendar year. Goal achieved.
- ☒ Leverage private or other public funds to create additional housing opportunities:
Staff Responsibility: Finance Department

NAHA will make one application per year for years 1-5 for additional private or public funds to create additional housing opportunities.

Update 2010: NAHA was awarded \$2,142,124 in Formula Recovery Funds. NAHA was competitively awarded \$590,000 for ADA related community space improvements at AMP 1 (Beechwood and Riverside developments; \$350,000 for ADA related community space improvements at AMP 2 (Vance Court and Parkview Towers); \$1,105,000 for renovation of 24 units to meet ADA requirements at AMP 3 (Parkview and Broadmeade Terraces); and, \$662,000 for ADA related community space improvements at AMP 4 (Riverview and Mark Elrod Towers.)

Update 2011: NAHA is making applications for the following grants: Family Unification Programs (\$200,000); Housing Choice Voucher Family Self-Sufficiency (\$50,000); Choice Neighborhoods Planning Grant (\$250,000); Capital Funds Community Building (\$3,000,000); Family Self Sufficiency Case Manager (\$50,000); Family Self-Sufficiency Program (\$424,000). In addition, NAHA was awarded \$70,000 planning grant as match for the Choice Neighborhoods Planning Grant. NAHA is currently working with the Permanent Supportive Housing Institute under the aegis of the Indiana Housing Finance and Community Development Administration to initiate construction of up to 40 units of Family Unification Units for both families at risk of homelessness and for youth foster out of foster care.

☒ Other (list below)

ork with the City of New Albany to implement the Neighborhood Stabilization Program during Calendar year 09 to reduce the number of blighted and vacant properties adjacent to NAHA sites

aff Responsibility: Finance Departmen

Update 2010: NAHA was not part of city designated as blighted by the City of New Albany and therefore did t apply

Update 2011: NAHA is working with the State of Indiana on implementing the NSP3 grant to serve meless populations in the future. This is part of tle work of the Permanent Supportive Housing Institute..

☒ PHA Goal: Improve the quality of assisted housing
Objectives:

- ☒ Improve public housing management: (PHAS score) 90
NAHA will improve PHAS score by one point per year for years 1-5.

II. STAFF RESPONSIBILITY: ALL DEPARTMENTS

Update 2010: PHAS scores deferred during transition year. NAHA has reviewed scoring protocol for implementation of new protocol and each AMP has defined goals to reach minimum score of 90 at each site. Finance Department (Financial and Capital Fund) will maintain current high performance scores.)

Update 2011: NAHA was designated a High Performer under the PHAS transformation scoring.

- ☒ Continue High-Performer voucher management: (SEMAP score) 100
Staff Responsibility: Section 8 Department and Finance Department
Update 2010: Section 8 maintains current High-Performer status.
Update 2011: Section 8 maintains current High-Performer status.

- ☒ Improve and/or increase the marketability of NAHA properties through increased emphasis on customer satisfaction.
1. Site managers will provide one strategy for improved performance in the market in each of years 1-5.
Update 2010: Each AMP was provided an allowance of Capital Fund Management Improvement funds in the fall of 2009. Each manager is reviewing property status to spend funds
Update 2011: Ongoing improvements are planned. NAHA conducted one customer service training during current fiscal year..
 2. Site managers will provide a management improvement plan for use of capital funds during Year 1.
Update 2010: Plans due January 21, 2010. Plan delayed by late distribution of Capital Fund 109 by HUD due to Recovery Fund implementation.
Update 2011: As a result of funding provided by the ARRA, NAHA site managers have upgraded all community spaces to ADA standards as well as updated the physical appearance of the public areas. AMP 2 which contained Crystal Court, completely rehabilitated 23 units of public housing which has a scheduled occupancy date of April 1, 2011. AMP 3 is rehabilitating 24 units of public housing not only to meet ADA requirements, but also as the model homes for public housing of the future. Scheduled completion date is October 30, 2011.
If NAHA is awarded a Choice Neighborhoods Planning Grant we will undertake a long term strategic plan for deconcentrating the number of units at the Parkview Broadmeade Housing Development.
NAHA is purchasing the Brown-Starkes Community which will be rehabilitated to provide not only a Social Services Center, but also an Education, Health and Training Center as part of an expansion of the original building.

- ☒ Concentrate on efforts to improve specific management functions:
(list; e.g., public housing finance; voucher unit inspections)

1. Will improve the efficiency of occupancy department as a result improved job descriptions and performance goals.
Staff Responsibility: Central Office Cost Center

Update 2010: Job descriptions are reviewed. Request for Qualifications for consulting services to do compensation, staffing, and job description review in 2010. RFQ will be released by March 1, 2011

Update 2011: As a result of management concerns at AMP 2 (which was comprised of public housing developments Crystal Court, Vance Court, and Parkview Towers as well a non federal affordable housing site, Valley View) will be integrated into AMPs 3 and 4 based on building types and geography. All current staff were absorbed by receiving AMPs without loss of jobs.

After review of AMP2 performance the decision

2. Will maintain occupancy rate of 97% in years 1-5.

Staff Responsibility: Asset Management Property staff.

Update 2010: Goal met, will be maintained.

Update 2011: Goal met, will be maintained

3. Will increase housekeeping inspections by 10% in each of years 1-5.

Staff Responsibility: Occupancy Department

Update 2010: Goal not met, will renew efforts in 2010.

Update 2011: Goal not met, will renew efforts in 2011.

4. Will promote the use of online application process to reduce Intake Staff data entry

Staff Responsibility: Intake Staff

Will increase the total percentage of applications entered by applicants by 10% in each of years 1-5

Update 2010: Goal not met, will review marketing of online applications and renew efforts..

Update 2011: Goal not met, will review marketing of online applications and renew efforts as part of the new website development.

5. Will reduce tenant accounts receivable by 5% in each of years 1-5

Staff Responsibility: Occupancy Department and Finance Department

Update 2010: Goal not met. Current instability and distress in economy has resulted in increase of approximately 10% in Tenant Accounts Receivable. NAHA is implement corrective action and reviewing policies to improve rent collection and eviction process.

Update 2011: Goal not met. AMP 3 receivables actually increased resulting in a management decision to restructure the TAR function at AMP 3 as part of the management plan for non performing properties.

6. All staff will become knowledgeable regarding the new PHAS indicators for all departments in public housing during year 1.

Staff Responsibility: All staff

:Update 2010: Goal met, NAHA COCC conducted detailed training during staff retreat on the new PHAS indicators including estimation of scoring using new tool. Staff will train and measure progress on an ongoing basis.

Update 2011: Goal met, NAHA COCC continues to emphasize the components of the new PHAS scoring. The release of the new indicators was delayed by HUD and NAHA continues to monitor both the current transitional scoring and the proposed scoring.

7. Will decrease average vacant unit turnaround average days by 2% in each of years 1-5.

Staff Responsibility: All Staff

Update 2010: Goal met. Vacant unit turnaround has decreased on agency average by more than 10%.

Update 2011: Goal met. Vacant unit turnaround days have decreased by 95% under asset management from 210,000 days in 2006 to 10,000 in FY10.

8. Will increase the MASS indicator score by 3 points by year 5.

Staff Responsibility: All Departments

Update 2010: Goal deferred pending final release of new Management Indicators by HUD.

Update 2011: Goal met under transitional PHAS scores and NAHA received all 30 points possible under the Management Indicator.

9. Will complete decentralization of all warehouse facilities by end of Year 1.

Staff Responsibility: All Departments

Update 2010: Goal met. Warehouses now decentralized.

10. Will improve the management of Valley View Court by decreasing annual vacancy months by 5% in each of years 1-5.

Staff Responsibility: AMP 2 Site Staff

Update 2010: Goal met. Valley View Court has averaged over 99% occupancy for past year.

Update 2011: Goal met but site has had increased vacancy days due to higher turnover at the site secondary to increased utility costs.



Renovate or modernize public housing units:

1. Will complete energy performance contractor selection for renovation and energy conservation with energy and savings corporation (in process) during year 1.

Staff Responsibility: Finance Department

Update 2010: Goal met. Contract signed, energy conservation measures 95% installed.

Update 2011: Goal met. All EPC work completed and NAHA is in the Measurement and Verification Phase of the project.

2. Will complete scope of work and initiate construction for performance contracting during year 2.

Staff Responsibility: Finance Department and Maintenance Department

Update 2010: Goal exceeded. Contract signed, energy conservation measures 95% installed.

Update 2011: Goal met. All EPC work completed and NAHA is in the Measurement and Verification Phase of the project

3. Will complete 95% of construction by end of year 3.

Staff Responsibility: Finance Department and Maintenance Department

Update 2010: Goal exceeded. Contract signed, energy conservation measures 95% installed.

Update 2011: Goal met. All EPC work completed and NAHA is in the Measurement and Verification Phase of the project

4. Will use cost savings for additional work by end of year 5.

Staff Responsibility: Finance Department and Maintenance Department



Demolish or dispose of obsolete public housing:

III. STAFF RESPONSIBILITY: FINANCE DEPARTMENT, ALL STAFF

Update 2010: NAHA is reviewing performance of all AMPs for future possible HOPE VI application.

Update 2011: NAHA is completing application for Choice Neighborhoods Planning Grant to reduce the concentration of public housing at the

Parkview/Broadmeade site. NAHA is considering the future of all sites as part of the planning process. NAHA has hired an Urban Planner to assist with the long term renovation goals of the agency.

- ☒ Provide replacement vouchers as part of effectiveness review in year as needed.
Staff Responsibility: Finance Department

☒ PHA Goal: Increase assisted housing choices

Objectives:

- ☒ Provide voucher mobility counseling:
Staff Responsibility: Section 8 Department
Update 2010: Goal met.
Update 2011: Goal met.

- ☒ Conduct outreach efforts to potential voucher landlords
Will participate in 2 fair housing events and have 1 landlord outreach effort in years 1 through 5.

Update 2010: Goal not met. Will renew efforts in FY11.

- ☒ Implement voucher homeownership program:
New homeownership plan is part of this plan. Will be initiated during year 1 of this plan.

IV. STAFF RESPONSIBILITY: SECTION 8 DEPARTMENT

Update 2010: Section 8 Department has implemented Homeownership Program. January 2010 saw first homeowner.

Update 2011: Homeownership Program continues to thrive, three homeowners have homes, XX are in readiness program.

- ☒ Implement public housing or other homeownership programs:
Staff Responsibility: Finance Department and Section 8 Department

Update 2010: Section 8 Department has implemented Homeownership Program.

HUD Strategic Goal: Improve community quality of life and economic vitality

☒ PHA Goal: Provide an improved living environment

Objectives:

- ☒ Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
Staff Responsibility: Finance Department
This goal is being reviewed pending the published Final Rule Streamlining Public Housing Initiative, Final Rule during 2009.

Update 2010: Final rule still pending.

Update 2010: Final rule still pending

- ☒ Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
See deconcentration comments above.

Staff Responsibility: Finance Department

Update 2010: NAHA has implemented actions to increase income mixing at AMP 3.

- ☒ Implement public housing security improvements:

1. *Will increase remote surveillance activities in years 1 through 5.*

Staff Responsibility: Safety and Security Department

Update 2010: NAHA has implemented new surveillance capabilities throughout NAHA sites.

Update 2011: NAHA is undertaking a dedicated network for security improvements to increase the reliability of the security network.

2. *Will complete plan to have PHA security watch in year 1.*

Staff Responsibility: Safety and Security Department

Update 2010: Goal deferred due to staff changes.

Update 2011: Goal deferred due to staff changes.

3. *Will analyze results of PHA security vs. contract police patrols in year 1.*

Staff Responsibility: Safety and Security Department and Finance Department

Update 2010: Goal deferred due to staff changes.

Update 2011: Goal met, new Safety and Security Coordinator is reviewing all aspects of procedures and updating communication, use of contract patrols, implementation of patrols.

4. *Will continue extra security efforts based on analysis of security patrol in year 2 during year 3.*

Staff Responsibility: Safety and Security Department and Finance Department

Update 2010: NAHA is currently assessing effectiveness of current security efforts and realigning all security and safety efforts.

Update 2011: New Coordinator will continue to analyze effectiveness of current efforts.

5. *Will continue to implement effective screening for appropriate housing of applicants during years 1 through 5.*

Staff Responsibility: Safety and Security Department and Occupancy Department

Update 2010: NAHA will release Request for Proposal for new tenant screening contractor to improve screening during calendar year 2010, goal performance was deferred due to staffing changes.

Update 2011: Request for Proposals will be released in first quarter of 2011 due to change in staffing.



Designate developments or buildings for particular resident groups (elderly, persons with disabilities)

Staff Responsibility: Finance Department

After review of vacancy rates at sites, Parkview Towers was not re-designated as elderly only, but reverted to mixed population. Riverview Towers was designated as elderly/near elderly due to continuing vacancy problems and need for one-bedroom apartments for near-elderly and disabled residents based on analysis of needs demonstrated by NAHA waiting list analysis.



Other: (list below)

1. *Will make decision regarding possible conversion of public housing units during year 3.*

- Staff Responsibility: All Staff*
2. If needed, will begin conversion process.
Staff Responsibility: All Departments
Update 2011: Formal planning will begin during CY2011 with new Planner in place.
 3. Will complete process of computerized access at all high rises.
Staff Responsibility: Finance Department and Maintenance Department
Update 2010: Goal met. New access system installed.
Update 2011: Dialing system updated during FY2010 to decrease unauthorized access to high rises as part of renovation of all entries at high rises.
 4. Will provide amenities to 5% of housing units each year during years 1 through 5.
Staff Responsibility: All Staff
Update 2010: NAHA installed new bathrooms at 725 family units (67%).
Update 2011: NAHA renovated 50 units of public housing and all community spaces were contracted for extensive improvements.

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- ☒ PHA Goal: Promote self-sufficiency and asset development of assisted households
 Objectives:
 - ☒ Increase the number and percentage of employed persons in assisted families:
Staff Responsibility: Family Self Sufficiency and Supportive Services
 1. Will increase % of employed persons in assisted families by 2% in each of years 1 through 5.
Update 2011: Goal not met due to nation wide recession and local rise in unemployment.
 - ☒ Provide or attract supportive services to improve assistance recipients' employability:
Will seek out 1 additional supportive service in each of years 1 through 5.
Staff Responsibility: Family Self Sufficiency and Supportive Services
Update 2010: NAHA applied for 1 Section 8 case manager position (renewal) and 2 Public Housing Case manager positions.
Update 2011: NAHA is applying for 4 additional FSS positions for FYB 2011.
 - ☒ Provide or attract supportive services to increase independence for the elderly or families with disabilities.
 1. Will provide a community service brochure for each elderly/disabled person residing in public housing.
Staff Responsibility: Family Self Sufficiency and Supportive Services
Update 2010: Goal not met.
Update 2011: Goal not met.
 2. Will seek 2 additional partnerships by year 2
Staff Responsibility: Family Self Sufficiency and Supportive Services

Update 2010: NAHA has increased partnerships with IUS and NAFC Parks and Recreation Departments.

Update 2010: NAHA has increased partnerships Scholar House and Interfaith Community Services.

3. Will apply for additional grant funding when available in years 1 through 5.

Staff Responsibility: Contractor or inhouse staff

Update 2010: Goal met.

Update 2011: Goal met

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

☒ PHA Goal: Ensure equal opportunity and affirmatively further fair housing

Objectives:

☒ Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:

Will participate annually in Fair Housing Fair and/or participate in training annually to insure all staff are aware of responsibility in enforcing Fair Housing requirements.

Staff Responsibility: All Staff

Update 2010: Goal not met.

Update 2011: Goal met through off site training.

☒ Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability.

Update 2010: Goal met, printed materials contain affirmative action statements.

1. Will market PHAs mobility-impaired, vision-impaired, and hearing-impaired units.

Staff Responsibility: AMP managers

2. Will market to Hispanic community more aggressively since it is the fastest growing ethnic group in Southern Indiana.

Staff Responsibility: AMP managers

3. Will continue to participate in ethnic and minority outreach symposia, fairs, consortia.

Staff Responsibility: All Staff

☒ Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:

Have completed large number of ADA compliant units. Will conduct outreach efforts during years 1 through 5.

Staff Responsibility: All Departments

Year 2-5 Update: Outreach is ongoing.

Other PHA Goals and Objectives: (list below)

☒ **To Improve the overall management strategies of New Albany Housing Authority.**

☒ Improve the purchase order system by requiring mandatory purchase orders for all goods and services.

Staff Responsibility: Finance Department

Update 2010: Goal met. Purchase order system fully implemented within finance department operations.

- ☒ Review and improve communication technology systems within NAHA. Annual provide technology plan to all staff for review and comments.

Staff Responsibility: Finance Department

Update 2010: Goal met. NAHA implemented new administrative cell phones. Will deploy to entire staff in year 2.

Update 2011: Goal met. NAHA implemented new cell phones agency wide.

- ☒ Implement enhanced attendance system to complement PTO policy during year 1.

Staff Responsibility: Finance Department and Human Resources

Update 2010: Goal met. New time and attendance system implemented.

- ☒ Improve the reporting function of all departments to increase the ability to track and analyze department functions. Each department will present a management plan to improve key indicators in HUD Form 5834 when released.

Staff Responsibility: All Departments

Update 2010: Goal deferred pending release of HUD 5834 and PHAs transitional scoring protocol.

Update 2011: Management developed a statement regarding assessment of non performing operties which was related to all staff between September 2010 and December 2010 resulting in alignment of AMPs and staffing changes at AMPs 2, 3 and 4.

- ☒ Develop a safety program residents of NAHA.

Staff Responsibility: Safety and Security Department, Occupancy Department, and Resident Initiatives Department

Update 2010: Goal deferred due to staff changes.

Update 2011: Goal met, new initiative being developed.

- ☒ Improve the system of costing maintenance jobs during Year 1.

Staff Responsibility: Finance Department and AMP managers.

Update 2010: Goal met. Maintenance costs are now captured within work-order system.

- ☒ Continue to develop enhanced personnel policies and procedures manual

Staff Responsibility: Human Resources

Update 2010: Goal met. Current policies are being reviewed for additional enhancements.

- ☒ Develop a procedures for systematic management and reporting for all departments when Final PHAS rule is released

Staff Responsibility: All Departments

Update 2010: Goal deferred pending final rule.

Update 2011: Goal deferred pending final rule.

- ☒ Increase accountability for all staff: Directors, Coordinators, Line staff. During Calendar Year 2009, NAHA will release a Request for Proposal for a comprehensive independent

assessment of salaries, benefits, organizational policies, job descriptions, and staffing ratios.

Staff Responsibility: Central Office Cost Center

Update 2010: Goal met. RFP will be released by March 2010.

Update 2011: Goal not met. RFP will be released by March 2011.

☒ **To improve the overall positive perception of New Albany Housing Authority.**

- ☒ Develop Community Outreach presentations that demonstrate the functions of New Albany Housing Authority and each of its departments

Staff Responsibility: All Departments

Update 2010: Goal met. New presentations being developed. Have engaged a consultant for marketing plan.

Update 2011: Website has been developed for early 2011 release.

- ☒ Develop outreach articles and newsletters to present a picture of NAHA as an agency striving to improve

Staff Responsibility: Human Resources and Communications Department

Update 2010: Goal met and ongoing.

Update 2011: Goal met and ongoing.

- ☒ Develop a safety program for residents of NAHA.

Staff Responsibility: Maintenance Department and Human Resources and Communications Department

Update 2010: Goal deferred due to staff changes..

Update 2011: Goal not met.

- ☒ Develop an agency wide customer friendly attitude through annual customer service training and/or awareness day.

Staff Responsibility: All Departments

Update 2010: Goal not met.

Update 2010: Goal met. Trainer conducted customer service training in October 2010.

- ☒ Develop programs for special at-risk populations by submitting proposals for grant funding or creating partnerships to assist at-risk populations on an annual basis.

Staff Responsibility: Family Self Sufficiency and Supportive Services Department

Update 2010: Goal met. FSS program continuously develops new programs to meet needs of at-risk populations of all ages. New mentoring program developed during 2009.

Update 2011: Goal met. FSS program continuously develops new programs to meet needs of at-risk populations of all ages. New Homeownership program implemented during 2010.

Certification for a Drug-Free Workplace

U.S. Department of Housing
and Urban Development

Applicant Name

The Housing Authority of the City of New Albany, Indiana

Program/Activity Receiving Federal Grant Funding

Public Housing Capital Funds

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

AMP 1: 55 Riverside Drive,
AMP 2: No Longer Applicable
AMP 3: 300 Erni Ave
AMP 4: 300 Erni Ave

All located in New Albany, Floyd County, Indiana, 47150

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Bob Lane

Title

Executive Director

Signature

X

Bob Lane

Date

January 10, 2011

Certification of Payments to Influence Federal Transactions

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

Applicant Name

The Housing Authority of the City of New Albany, Indian

Program/Activity Receiving Federal Grant Funding

Public Housing Capital Funds

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Bob Lane

Title

Executive Director

Signature



Date (mm/dd/yyyy)

01/10/2011

PHA Certifications of Compliance with PHA Plans and Related Regulations	U.S. Department of Housing and Urban Development Office of Public and Indian Housing Expires 4/30/2011
----------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------

**PHA Certifications of Compliance with the PHA Plans and Related Regulations:
Board Resolution to Accompany the PHA 5-Year and Annual PHA Plan**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the 5-Year and/or ☒ Annual PHA Plan for the PHA fiscal year beginning 2011, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.

12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
 - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
 - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
 - (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

New Albany Housing Authority
PHA Name

1N012
PHA Number/HA Code

 5-Year PHA Plan for Fiscal Years 20 - 20

☒ Annual PHA Plan for Fiscal Years 20 11 - 20 12

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

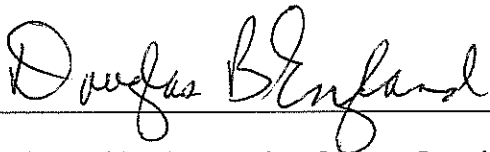
Name of Authorized Official	Title
<u>Ruthanne Wolfe</u>	<u>Chair, Board of Commissioners</u>
Signature	Date
<u>Ruthanne Wolfe</u>	<u>1/13/11</u>

**Certification by State or Local
Official of PHA Plans Consistency
with the Consolidated Plan**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

**Certification by State or Local Official of PHA Plans Consistency with the
Consolidated Plan**

I, Honorable Douglas B. England the Mayor certify that the Five Year and
Annual PHA Plan of the New Albany Housing Authority is consistent with the Consolidated Plan of
Civil City of New Albany prepared pursuant to 24 CFR Part 91.



Signed / Dated by Appropriate State or Local Official

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary					
PHA Name: The Housing Authority of the City of New Albany, IN		Grant Type and Number Capital Fund Program Grant No: IN36P01250110 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant: 2010 FFY of Grant Approval: 2010
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	160,000			
3	1408 Management Improvements	328,000		40405.47	40405.47
4	1410 Administration (may not exceed 10% of line 21)	165,724			
5	1411 Audit	8,000			
6	1415 Liquidated Damages				
7	1430 Fees and Costs	87,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	75,000			
10	1460 Dwelling Structures	400,000			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures	298,523			
13	1475 Non-dwelling Equipment	75,000			
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs	60,000			
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name: The Housing Authority of the City of New Albany, IN	Grant Type and Number Capital Fund Program Grant No: IN36P01250110 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant:2010 FFY of Grant Approval:			
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	1,657,247			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities	523,523			
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs	120,000			
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date 06/24/2010		Signature of Public Housing Director	
				Date	

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: The Housing Authority of the City of New Albany, IN		Grant Type and Number Capital Fund Program Grant No: IN36P01250110 CFFP (Yes/ No): Replacement Housing Factor Grant No:				Federal FFY of Grant: 2010		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
AMP 4	Fencing at Riverview Towers	1450		75,000				
AMP 1	ADA Renovation, Riverside & Beechwood Community Space	1470		12,000				
AMP 2	ADA Renovation, Vance, Parkview Towers Community space	1470		141,523				
AMP 3	ADA Renovation, 24 Residential Units, Parkview Terrace	1460		225,000				
AMP 4	ADA Renovation, Riverview Towers, Mark Elrod Towers Community Space	1470		57,000				
Site Wide	Vehicle & Equipment Replacement	1475		75,000				
AMP 2	Crystal Relocation	1495.1		20,000				
AMP 3	Parkview Terrace Relocaiton	1495.1		40,000				
AMP 4	EMERGENCY REPAIRS remove concrete façade, Riverview Towers	1460		88,000				
AMP 2	EMERGENCY REPLACEMENT of main sewer/water lines (caving)	1460		75,000				
AMP 4	EMERGENCY REPLACEMENT of cracked water main with cast iron (code)	1460		100,000				

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary

PHA Name: NEW ALBANY HOUSING AUTHORITY		Grant Type and Number 14012 00000409E		FY of Grant: FFY of Grant Approval: 2009	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report	
Line	Summary by Development Account	Original	Total Estimated Cost	Obligated	Total Actual Cost¹
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1413 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.
⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary		PHA Name:		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: Date of CFP:		FFY of Grant: FFY of Grant Approval:	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Performance and Evaluation Report for Period Ending:				<input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report			
Type of Grant	Summary by Development Account	Original	Total Estimated Cost	Revised²	Obligated	Total Actual Cost¹	Expended
18a	1501 Collateralization or Debt Service paid by the PHA						
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment						
19	1502 Contingency (may not exceed 8% of line 20)						
20	Amount of Annual Grant: (sum of lines 2 - 19)		662,500				
21	Amount of line 20 Related to LBP Activities						
22	Amount of line 20 Related to Section 504 Activities						
23	Amount of line 20 Related to Security - Soft Costs		662,500				
24	Amount of line 20 Related to Security - Hard Costs						
25	Amount of line 20 Related to Energy Conservation Measures						
Signature of Executive Director <i>Bob G...</i> Date 11/4/09		Signature of Public Housing Director Date					

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.
⁴ RHF funds shall be included here.

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

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Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary

PHA Name: <i>NEW ALBANY HOUSING AUTH.</i>	Grant Type and Number: <i>1N012 00000 309 E</i> Capital Fund Program Grant No: Replacement Housing Factor Grant No: Date of CFFP:	FY of Grant: FY of Grant Approval: <i>2009</i>
-----------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------

Type of Grant		Type of Grant		Type of Grant		Type of Grant	
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:)		<input type="checkbox"/> Final Performance and Evaluation Report	
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:							
Line	Summary by Development Account	Original	Total Estimated Cost	Revised ¹	Obligated	Total Actual Cost ¹	Expended
1	Total non-CFP Funds						
2	1406 Operations (may not exceed 20% of line 21) ²						
3	1408 Management Improvements						
4	1410 Administration (may not exceed 10% of line 21)						
5	1411 Audit						
6	1415 Liquidated Damages						
7	1430 Fees and Costs						
8	1440 Site Acquisition						
9	1450 Site Improvement						
10	1460 Dwelling Structures						
11	1465.1 Dwelling Equipment—Nonexpendable						
12	1470 Non-dwelling Structures						
13	1475 Non-dwelling Equipment						
14	1485 Demolition						
15	1492 Moving to Work Demonstration						
16	1495.1 Relocation Costs						
17	1499 Development Activities ⁴						

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.
⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary

PHA Name:

Grant Type and Number

Capital Fund Program Grant No:

Replacement Housing Factor Grant No:

Date of CFFP:

FFY of Grant:
FFY of Grant Approval:

Type of Grant

☐ Original Annual Statement

☐ Reserve for Disasters/Emergencies

☐ Revised Annual Statement (revision no:)

☐ Performance and Evaluation Report for Period Ending:

☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Original	Total Estimated Cost	Revised ²	Obligated	Total Actual Cost ¹	Expended
18a	1501 Collateralization or Debt Service paid by the PHA						
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment						
19	1502 Contingency (may not exceed 8% of line 20)						
20	Amount of Annual Grant: (sum of lines 2 - 19)						
21	Amount of line 20 Related to LBP Activities	1,105,000					
22	Amount of line 20 Related to Section 504 Activities	36,000					
23	Amount of line 20 Related to Security - Soft Costs	1,105,000					
24	Amount of line 20 Related to Security - Hard Costs						
25	Amount of line 20 Related to Energy Conservation Measures						
Signature of Executive Director <i>Bob Johnson</i>		Date 11/4/09	Signature of Public Housing Director		Date		

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFFP Grants for operations.

⁴ RHF funds shall be included here.

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary		PHA Name: NEAL ALCORNY HOUSING AUTH.		Grant Type and Number IN 012 000002095		FY of Grant: FY of Grant Approval: 2009	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Reserve for Disasters/Emergencies		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: Date of CFFP:					
Line	Summary by Development Account	Original	Total Estimated Cost	Revised²	Obligated	Total Actual Cost¹	Expended
1	Total non-CFP Funds						
2	1406 Operations (may not exceed 20% of line 21) ²						
3	1408 Management Improvements						
4	1410 Administration (may not exceed 10% of line 21)						
5	1411 Audit						
6	1415 Liquidated Damages						
7	1430 Fees and Costs						
8	1440 Site Acquisition						
9	1450 Site Improvement						
10	1460 Dwelling Structures						
11	1465.1 Dwelling Equipment—Nonexpendable						
12	1470 Non-dwelling Structures						
13	1475 Non-dwelling Equipment						
14	1485 Demolition						
15	1492 Moving to Work Demonstration						
16	1495.1 Relocation Costs						
17	1499 Development Activities ⁴						

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.
⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary

PHA Name: New Albany Housing Authority	Grant Type and Number: 11012 00000 2095	FFY of Grant: 2009
Capital Fund Program Grant No: 11012	Replacement Housing Factor Grant No:	FFY of Grant Approval: 2009
Date of CFFP:		

Type of Grant

☒ Original Annual Statement ☐ Reserve for Disasters/Emergencies
☐ Performance and Evaluation Report for Period Ending: ☐ Revised Annual Statement (revision no:)
☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 - 19)				
21	Amount of line 20 Related to LBP Activities	350,000			
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs	350,000			
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director <i>Bob Jones</i>		Date <i>11/4/09</i>	Signature of Public Housing Director		Date

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFFP Grants for operations.
⁴ RHP funds shall be included here.

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

2009

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary

PHA Name: <i>THE HOUSING AUTHORITY OF THE CITY OF NEW ALBANY IN</i>		Grant Type and Number Capital Fund Program Grant No: <i>101200000109E</i> Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant: <i>2009</i> FFY of Grant Approval:	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report			
Line	Summary by Development Account	Original	Total Estimated Cost	Obligated	Total Actual Cost: ¹
1	Total non-CFF Funds		Revised ²		Expended
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFF Grants for operations.

⁴ RHF Funds shall be included here.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary		PHA Name: New Albany Housing Authority		Grant Type and Number Capital Fund Program Grant No: N012 00000 1095 Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant: 2009 FFY of Grant Approval: 2009	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:)		<input type="checkbox"/> Final Performance and Evaluation Report	
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost¹			
		Original	Revised²	Obligated	Expended		
18a	1501 Collateralization or Debt Service paid by the PHA						
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment						
19	1502 Contingency (may not exceed 8% of line 20)						
20	Amount of Annual Grant: (sum of lines 2 - 19)	590,000					
21	Amount of line 20 Related to LBP Activities						
22	Amount of line 20 Related to Section 504 Activities	590,000					
23	Amount of line 20 Related to Security - Soft Costs						
24	Amount of line 20 Related to Security - Hard Costs						
25	Amount of line 20 Related to Energy Conservation Measures						
Signature of Executive Director Bob Zie		Date 11/4/09	Signature of Public Housing Director		Date		

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFF Grants for operations.
⁴ RHF funds shall be included here.

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

2009

[illegible]

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2001

Part I: Summary

Part I: Summary						
PHA Name/Number New Albany HA IN012		Locality City of New Albany, Floyd Co., Indiana		<input checked="" type="checkbox"/> Original 5-Year Plan	<input type="checkbox"/> Revision No:	
A.	Development Number and Name	Work Statement for Year 1 FFY 2010	Work Statement for Year 2 FFY 2011	Work Statement for Year 3 FFY 2012	Work Statement for Year 4 FFY 2013	Work Statement for Year 5 FFY 2014
B.	Physical Improvements Subtotal	Annual Statement	1,066,000- 5,744,000	1,066,000	1,066,000	1,066,000
C.	Management Improvements		156,000	156,000	156,000	156,000
D.	PHA-Wide Non-dwelling Structures and Equipment					
E.	Administration		160,000	160,000	160,000	160,000
F.	Other					
G.	Operations		270,000	270,000	270,000	270,000
H.	Demolition					
I.	Development					
J.	Capital Fund Financing - Debt Service					
K.	Total CFP Funds		1,692,000	1,692,000	1,692,000	1,692,000
L.	Total Non-CFP Funds					
M.	Grand Total		6,352,000			

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: 9th			5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: The Housing Authority of the City of New Albany, IN PO Box 11 New Albany, IN 47150 Congressional District, if known: 9th		
6. Federal Department/Agency: Department of Housing & Urban Development			7. Federal Program Name/Description: Not Applicable CFDA Number, if applicable: _____		
8. Federal Action Number, if known:			9. Award Amount, if known: \$		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): Not Applicable			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):		
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature: <u>Bob Lane</u> Print Name: <u>Bob Lane</u> Title: <u>Executive Director</u> Telephone No.: <u>812 206-2033</u> Date: <u>01/10/2011</u>		
Federal Use Only:				Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	